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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application No.	09/967,220
	Filing Date	September 28, 2001
	First Named Inventor	Dong-Yuan Chen
	Art Unit	2122
	Examiner Name	Michael J. Yigdall
Total Number of Pages in This Submission	Attorney Docket Number	42390P11197

ENCLOSURES (check all that apply)					
Fee Transmittal Fo	orm	Drawing(s)	After Allowance Communication to Group		
Fee Attache	ed	Licensing-related Papers	Appeal Communication to Board of Appeals and Interferences		
Amendment / Res	ponse	Petition	Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)		
After Final Affidavits/de	eclaration(s)	Petition to Convert a Provisional Application	Proprietary Information		
Extension of Time	Request	Power of Attorney, Revocation Change of Correspondence Address	Status Letter		
Express Abandonr	ment Request	Terminal Disclaimer	Other Enclosure(s) (please identify below):		
Information Disclos	sure Statement	Request for Refund	- check in the amount of \$180.00		
PTO/SB/08 Certified Copy of F Document(s)	Priority	CD, Number of CD(s)	- copies of 4 cited references - return postcard		
	ation iling Fee ution/POA o Missing 37 CFR	Remarks			
	SIGNATURI	OF APPLICANT, ATTORNEY, OR AC	GENT		
Firm or Individual name	or				
Signature Mul 1/4 M/1					
Date July 7, 2004					
CERTIFICATE OF MAILING/TRANSMISSION					
I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.					
Typed or printed name	Typed or printed name Annie G. Pearson				
Signature	1 Annie	020-1	Date July 7, 2004		

Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT

180.00

(\$)

Complete if Known			
Application Number	09/967,220		
Filing Date	September 28, 2001		
First Named Inventor	Dong-Yuan Chen		
Examiner Name	Michael J. Yigdall		
Art Unit	2122		
Attorney Docket No.	42390P11197		

07/07/04

Date

METHOD OF PAYMENT (check all that apply)	FEE CALCULATION (continued)							
☐ Check ☐ Credit card ☐ Money ☐ Other ☒ None	3.	ADDITIO	NAL	FEES	3			
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Account Name Blakely, Sokoloff, Taylor & Zafman LLP	į				cover sheet.			
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Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account	125	110	2251	55	Extension for reply wit	hin first month		
FEE CALCULATION	125	2 420	2252	210	Extension for reply wit	hin second month		
1. BASIC FILING FEE	125	3 950	2253	475	Extension for reply wit	hin third month		
Large Entity Small Entity	125	1,480	2254	740	Extension for reply wit	hin fourth month		
Fee Fee Fee Fee <u>Fee Description</u> Fee Paid Code (\$) Code (\$)	125	55 2,010	2255	1,005	Extension for reply wit	hin fifth month		
1001 770 2001 385 Utility filing fee	140	330	2401	165	Notice of Appeal			
1002 340 2002 170 Design filing fee	140	2 330	2402	165	Filing a brief in suppo	rt of an appeal		
1003 530 2003 265 Plant filing fee	140	3 290	2403	145	Request for oral heari	-		
1004 770 2004 385 Reissue filing fee	145	1,510	2451	1,510	Petition to institute a p	oublic use proceed	ing	
1005 160 2005 80 Provisional filing fee	145	52 110	2452	55	Petition to revive - una	avoidable		
SUBTOTAL (1) (\$)	145	3 1,330	2453	665	Petition to revive - uni	ntentional		
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2. EXTRA CLAIM FEES Extra Fee from	150		2502	240	Design issue fee			
Ctairns below Fee Paid Total Claims	150		2503	320	Plant issue fee			
Independent - 30 = X	146		2460	130	Petitions to the Comm			
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1202 18 2202 9 Claims in excess of 20					(37 CFR § 1.129(a))			
1201 86 2201 43 Independent claims in excess of 3	181	0 770	2810	385	For each additional in examined (37 CFR § 1			
1203 290 2203 145 Multiple Dependent claim, if not paid	180	1 770	2801	385	Request for Continued	Examination (RC	E)	
1204 86 2204 43 **Reissue independent claims over original patent	180		1802	900	Request for expedited	examination		<u> </u>
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SUBMITTED BY						Comp	lete (if ap	olicable)
Name (Print/Type) Mark C. Van Ness		Registratio			39,865	Telephone	(303)	740-1980

Signature

Docket No.: 42390P11197

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

e the Application of:

DONG-YUAN CHEN, ET AL.

Application No.: 09/967,220

Filed: September 28, 2001

For: Hardware Assisted Dynamic

Optimization of Program Execution

Art Group: 2122

Examiner: Michael J. Yigdall

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed for applications filed after June 30, 2003). This IDS and IDS Citation Form are being submitted before the mailing of a final Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

07/13/2004 MBLANCO 00000010 09967220

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The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

The fee set in the amount of \$180.00 for submission of the Information Disclosure Statement is enclosed herewith. Please charge any additional fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: July 07, 2004

Mark C. Van Ness, Reg. No. 39,865

12400 Wilshire Boulevard, 7th Floor Los Angeles, CA 90025

Telephone: (303) 740-1980

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Annie G. Pearson

Date

07-07-04

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Substitute for form 1449A/PTO			Complete if Known			
7		~!	CUDE	Application Number	09/967,220	•
INFORMATION DISCLOSURE		Filing Date	September 28, 2001	•		
STATEMENT BY APPLICANT (use as many sheets as necessary)		ICANT	First Named Inventor	Dong-Yuan Chen	•	
		- -	Art Unit	2122	•	
	1	T	1	Examiner Name	Michael J. Yigdall	
Sheet	1	of	2	Attorney Docket Number	42390P11197	

			U.S. PATE	NT DOCUMENTS	
Examiner Initials*	Cite No.¹	Document Number Number - Kind Code² (if known)	Publication Date or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1	US-5,999,736	12-07-1999	Gupta et al.	
	2	US-6,044,221	03-28-2000	Gupta et al.	
	3	US-6,212,489 B1	04-03-2001	Klein et al.	
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	FOREIGN PATENT DOCUMENTS							
Examiner	Cite	Foreign Patent Document			Pages, Columns, Lines,			
Initials*	No.'	Country Code ³ - Number ⁴ - Kind Code ³ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Where Relevant Passages or Relevant Figures Appear			
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Examiner	Date	
Signature	Considered	

Based on PTO/SB/08A (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 08/11/2003.

^{*}Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

^{&#}x27;Applicant's unique citation designation number (optional). *See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. *Enter Office that issued the document, by the two-letter code (MIPO Standard ST.3). 'For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. *Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. *Applicant is to place a check mark here if English language Translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

of 2 Sheet 2

Complete if Known				
Application Number	09/967,220			
Filing Date	September 28, 2001			
First Named Inventor	Dong-Yuan Chen			
Art Unit	2122			
Examiner Name	Michael J. Yigdall			
Attorney Docket Number	42390P11197			

NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No.'	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Τ²		
	4	Bala et al, "Dynamo: A Transparent Dynamic Optimization System",			
		www.hpl.hp.com/cambridge/projects/Dynamo, pgs 1-12			
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Signature	Consi	dered

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